

# TRANSMITTAL FORM

(To be used for all correspondence  
after initial filing)

Application Number	10/702,136
Filing Date	November 5, 2003
First Named Inventor	Naoki Hanashima
Art Unit	2883
Examiner Name	Jerry M. Blevins
Attorney Docket No.	890050.447

## ENCLOSURES (check all that apply)

- |  |  |   |
|--|--|---|
| <input checked="" type="checkbox"/> Fee Transmittal Form                               | <input type="checkbox"/> Drawing(s)  | <input type="checkbox"/> After Allowance<br>Communication to TC   |
| <input checked="" type="checkbox"/> Fee Attached                                       | <input type="checkbox"/> Request for Corrected Filing<br>Receipt                               | <input type="checkbox"/> Appeal Communication to<br>Board of Appeals and<br>Interferences               |
| <input type="checkbox"/> Amendment/Response  | <input type="checkbox"/> Licensing-related Papers  | <input type="checkbox"/> Appeal Communication to<br>TC ( <i>Appeal Notice, Brief,<br/>Reply Brief</i> ) |
| <input type="checkbox"/> After Final   | <input type="checkbox"/> Petition  | <input type="checkbox"/> Proprietary Information  |
| <input type="checkbox"/> Affidavits/declaration(s)                                     | <input type="checkbox"/> Petition to Convert to a<br>Provisional Application                   | <input type="checkbox"/> Status Letter  |
| <input type="checkbox"/> Extension of Time Request                                     | <input type="checkbox"/> Power of Attorney,<br>Revocation, Change of<br>Correspondence Address | <input checked="" type="checkbox"/> Return Receipt Postcard   |
| <input type="checkbox"/> Express Abandonment<br>Request                                | <input type="checkbox"/> Declaration   | <input type="checkbox"/> Other Enclosure(s) ( <i>please<br/>identify below</i> ):                       |
| <input checked="" type="checkbox"/> Information Disclosure<br>Statement; Form PTO-1449 | <input type="checkbox"/> Statement under 37 CFR<br>3.73(b)                                     | _____   |
| <input type="checkbox"/> Cited References  | <input type="checkbox"/> Terminal Disclaimer   | _____   |
| <input type="checkbox"/> Certified Copy of Priority<br>Document(s)                     | <input type="checkbox"/> Request for Refund  | _____   |
| <input type="checkbox"/> Response to Missing Parts<br>under 37 C.F.R. 1.52 or 1.53     | <input type="checkbox"/> CD, Number<br>of CD(s) _____  | _____   |
| <input type="checkbox"/> Response to Missing<br>Parts/Incomplete Application           | <input type="checkbox"/> Landscape Table on CD   | _____   |

Remarks

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm Name	Seed Intellectual Property Law Group PLLC	Customer Number	00500
Signature			
Printed Name	John C. Grieger		
Date	July 14, 2005	Reg. No.	51,755

## CERTIFICATE OF TRANSMISSION/MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature		
Typed or printed name	Jason Añover	Date: July 14, 2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450. 610389

Effective on 12/08/2004.

Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

# FEE TRANSMITTAL for FY 2005

## Complete if Known

Application Number	10/702,136
Filing Date	November 5, 2003
First Named Inventor	Naoki Hanashima
Examiner Name	Jerry M. Blevins
Art Unit	2883
Attorney Docket No.	890050.447

☐ Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT (\$180.00)**

### METHOD OF PAYMENT (check all that apply)

☒ Check    ☐ Credit Card    ☐ Money Order    ☐ Other (please identify): \_\_\_\_\_  
☒ Deposit Account    Deposit Account Number: 19-1090    Deposit Account Name: Seed IP Law Group PLLC

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below    ☐ Charge fee(s) indicated below, **except for the filing fee**  
☐ Charge any additional fee(s) or underpayments    ☒ Charge any underpayments or credit any overpayments of fee(s) under 37 CFR 1.16 and 1.17

**Warning:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	<u>Small Entity</u> Fee (\$)	Fee (\$)	<u>Small Entity</u> Fee (\$)	Fee (\$)	<u>Small Entity</u> Fee (\$)	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Provisional	200	100	0	0	0	0	_____

#### 2. EXCESS CLAIM FEES

Fee Description	Fee (\$)	<u>Small Entity</u> Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims	Extra Claims	Fee (\$)	Fee Paid (\$)	Multiple Dependent Claims
_____ -20 or HP = _____ X _____ = _____				

HP = highest number of total claims paid for, if greater than 20

Indep. Claims	Extra Claims	Fee (\$)	Fee Paid (\$)
_____ -3 or HP = _____ X _____ = _____			

HP = highest number of independent claims paid for, if greater than 3

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)) the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).


Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____ -100 = _____ /50 = _____ (round up to a whole number) x _____				

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge): Submission of Information Disclosure Statement
**180**

### SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	51,755	Telephone	206-622-4900
Name (Print/Type)	John C. Grieger	Date	July 14, 2005		



PATENT

I hereby certify that on the date specified below, this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to Mail Stop Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

July 14, 2005  
Date

Jason Anover

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Naoki Hanashima et al.  
Application No. : 10/702,136  
Filed : November 5, 2003  
For : WAVEGUIDE-EMBEDDED OPTICAL CIRCUIT AND OPTICAL  
FUNCTIONAL ELEMENT USED THEREIN

Examiner : Jerry M. Blevins  
Art Unit : 2883  
Docket No. : 890050.447  
Date : July 14, 2005

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents:

In accordance with 37 CFR 1.56 and 1.97 through 1.98, applicants wish to make known to the U.S. Patent and Trademark Office the references set forth on the attached Form PTO-1449. Copies of the cited U.S. patents and published patent applications are not required and accordingly have not been provided. As to any reference cited, applicants do not admit that it is "prior art" under 35 U.S.C. §§ 102 or 103, and specifically reserve the right to traverse or antedate any such reference, as by a showing under 37 CFR 1.131 or other method. Although the aforesaid references are made known to the Patent and Trademark Office in compliance with

07/18/2005 HNGUYEN1 00000038 10702136

01 FC:1806

180.00 DP

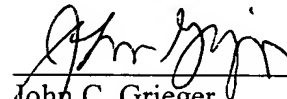
applicants' duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

Applicants wish to disclose and have officially considered the following co-pending related application by the same assignee: Application No. 10/678,981, filed October 3, 2003, entitled "SPOT-SIZE TRANSFORMER, METHOD OF PRODUCING SPOT-SIZE TRANSFORMER AND WAVEGUIDE-EMBEDDED OPTICAL CIRCUIT USING SPOT-SIZE TRANSFORMER".

Please acknowledge receipt of this Supplemental Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

A fee of \$180 is submitted in accordance with 37 CFR 1.97(c). The Director is authorized to charge any other fees which may be required, or credit any overpayment to Deposit Account No. 19-1090.

Respectfully submitted,  
Seed Intellectual Property Law Group PLLC

  
\_\_\_\_\_  
John C. Grieger  
Registration No. 51,755

Enclosures:

Postcard  
Check  
Form PTO-1449

701 Fifth Avenue, Suite 6300  
Seattle, Washington 98104-7092  
Phone: (206) 622-4900  
Fax: (206) 682-6031

610399

FORM PTO-1449

(REV. 7-80)

U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICE

ATTY. DOCKET NO.

890050.447

APPLICATION NO.

10/702,136

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANTS

Naoki Hanashima et al.

FILING DATE

November 5, 2003

GROUP ART UNIT

2883

## U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,157,746	10/20/92	Tobita et al.	385	33	
	AB	6,411,764	06/25/02	Lee	385	131	
	AC	6,813,417	11/02/04	Oh et al.	385	43	
	AD	2002/0106159	08/08/02	Nishimura et al.	385	49	
	AE	2002/0141682	10/03/02	Ryu et al.	385	14	
	AF	2003/0053756	03/20/03	Lam et al.	385	49	
	AG	2004/0264863	12/30/04	Suzuki et al.	385	43	
	AH						
	AI						
	AJ						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	TRANSLATION	
					YES	NO
	AK					
	AL					
	AM					
	AN					
	AO					

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP		
	AQ		
	AR		

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).